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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/409,633	10/01/1999	CARL MICHAEL DENNISON	BO9-99-025	5670

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EXAMINER
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FIELDS, COURTNEY D

ART UNIT	PAPER NUMBER
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2132

DATE MAILED: 10/22/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/409,633

Applicant(s)

DENNISON, CARL MICHAEL

Examiner

Courtney D. Fields

Art Unit

2132

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on August 11, 2003.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 1.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

***Response to Arguments***

1. Applicant's arguments filed 08/11/2003 have been fully considered but they are not persuasive.
2. Referring to the rejections of claims 1,9, and 17, the Applicant argues that the prior art (Ault et al.) does not teach a client request which includes authorization to allow the client to access control system functions in the server, returning security context to the client from the server, transmitting with the client request a control system command to access the server. The Examiner disagrees and asserts that Ault et al. teaches the step of authorizing the client's request by translating any authoring information sent by the client and if necessary decoding a message to the actual client request in Column 4, lines 27-35. Ault et al. teaches the step of returning the results from the Service function to the client from the server in Column 4, lines 45-48. Ault et al. teaches the step of transmitting with the client request a set of server application functions taking the client's request along with other configuration data of the server as input and returning a response to the server as output. The API functionality will provide a plug-in that facilitates user authentication so that the client may use the browser and gain access to the Web server in Column 4, lines 53-65.
3. Referring to the rejections of claims 2,10, and 18, the Applicant argues that the prior art (Ault et al.) does not teach that the server impersonates the client for returning the security context to the client. The Examiner disagrees and contends that Ault et al. teaches the means for impersonating the client by using a server plug-in, setting up a user identity with the proper DCE credentials, and then impersonating the user identity

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on the server thread which attempts to access the requested source in Column 7, lines 44-58.

4. Referring to the rejections of claims 3,11, and 19, the Applicant argues that the prior art (Ault et al.) does not teach the command of DCE protocol as means for providing the client security context, wherein the client uses the `sec_login_become_initiator` to request the server to impersonate the client, wherein the server uses the `sec_login_become_impersonator` command to impersonate the client. The Examiner disagrees and contends that Ault et al. teaches the step of invoking DCE security APIs to perform the programmatic login function "`dce_login`". API's creates a DCE "credential file" for the user which is returned to the session manager process in Column 6, lines 50-57. Ault et al. also teaches the step of impersonating by invoking the function "`ImpersonateLoggedOnUser`" API call within the server plug-in component and passing the context handle of the client to the server. The context handle represents the logged on user with DCE credentials file, and the "`ImpersonateLoggedOnUser`" API call is used to allow the server to impersonate the identity of the user in Column 7, lines 12-28.

5. Referring to rejections of claims 4,12, and 20, the Applicant argues that the prior art (Ault et al.) does not teach the step of converting the security context through the client program to a pointer to credential information of the client. The Examiner disagrees and contends that Ault et al. teaches the means for adding a value beneath the key, which contains the path to the associated DCE credentials file in addition to the user identity that is currently logged onto the operating system in Column 8, lines 13-30.

6. Referring to rejections of claims 6, 14, and 22, the Applicant argues that the prior art (Ault et al.) does not teach the step of requesting the security context through a remote procedure call. The Examiner disagrees and contends that Ault et al. teaches the means for testing whether a browser-initiated request for a protected resource (DFS file) has been received. The server component receives control on a server thread to service the browser-initiated request. The user is prompted for his or her DCE userid and password by using a basic authentication protocol. After verifying the DCE credential file of the user, the request from the user is called to the session manager through a create session remote procedure call by using a server plug-in component in Column 6, lines 10-44.

7. The rejections of claims 1-24 are maintained in view of the reasons above and in view of the rejection below.

***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-24 are rejected under 35 U.S.C. 102(b) as being anticipated by Ault et al. U.S. Patent No. 6,338,064. Referring to claims 1, 9, and 17, Ault et al. discloses a method and system comprising:

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A. Requesting with the client security context for the client including authorization to allow the client to access control system functions in the server (See Column 4, lines 27-34)

B. Returning with the server the requested security context to the client (See Column 4, lines 39-42)

C. Transmitting with the client program executing in the client a control system command and the security context to access the control system in the server (See Column 4, lines 53-65)

Referring to claims 2, 10, and 18, Ault et al. discloses the claimed limitation of the client requesting the server to impersonate the client to obtain the security context, further comprising accessing, with the server impersonating the client, the security context to return to the client (See Column 6, lines 10-14, Column 7, lines 12-28)

Referring to claims 3, 11, and 19, Ault et al. discloses the claimed limitation wherein the Distributed Computing Environment (DCE) protocol is used to provide the client security context, wherein the client uses the `sec_login_become_initiator` DCE command to request the server to impersonate the client, wherein the server uses the `sec_login_become_impersonator` DCE command to impersonate the client to obtain the security context (See Column 7, lines 54-58, 60-67, Column 8, lines 1-19)

Referring to claims 4, 12, and 20, Ault et al. discloses the claimed limitation of:

A. Converting with the server the security context transmitted through the client program to a pointer to credential information of the client (See Column 7, lines 30-36)

B. Determining from the credential information, with the server, whether the client is authorized to invoke the transmitted control system command (See Column 7, lines 37-39)

C. Executing, with the server, the control system command transmitted by the client if the client is authorized to invoke the command (See Column 7, lines 40-43)

Referring to claims 5, 13, and 21, Ault et al. discloses the claimed limitation wherein the client computer includes a different operating system than the server, wherein the client program executing in the client interacts with the client process executing in the server to perform control system operations (See Column 4, lines 2-9, 18-22)

Referring to claims 6, 14, and 22, Ault et al. discloses the claimed limitation wherein the client requests the security context through a remote procedure call (See Column 5, lines 37-42, Column 6, lines 42-44)

Referring to claims 7, 15, and 23, Ault et al. discloses the claimed limitation wherein the control system is a printer systems manager to control printers and printer related objects managed by the server (See Column 1, lines 40-45, Column 5, lines 14-18)

Referring to claims 8, 16, and 24, Ault et al. discloses the claimed limitation wherein the printer system manager command transmitted by the client comprises a command to reconfigure at least one printer object, thereby allowing the client computer to perform administrative functions (See Column 7, lines 44-49)

### ***Conclusion***

3. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not

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mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

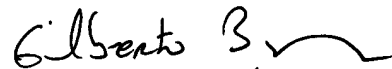
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Courtney D. Fields whose telephone number is 703-305-8293. The examiner can normally be reached on Mon - Thu 7:00 - 5:00 pm; off every Fri.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 703-305-1830. The fax phone numbers for the organization where this application or proceeding is assigned are 703-872-9306 for regular communications and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-3900.

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cdf

October 15, 2003



GILBERTO BARRON  
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